

BEFORE THE ETHICS COMMISSION
FOR THE STATE OF TENNESSEE
AT NASHVILLE

IN RE: Association of Surgical
Technologists
Respondent.

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No. 2008-0082

CONDITIONAL ASSESSMENT ORDER

This matter came on to be heard informally by the Commission on September 23, 2008 at its regularly scheduled meeting. Commission staff presented documentation indicating that Respondent failed to file a semi-annual lobbying expenditure report as required by Tenn. Code Ann. § 3-6-303(a).

FINDINGS OF FACT

Documentation on file with the Commission shows, and the Commission finds, as follows:

1. Registration. Respondent Association of Surgical Technologists, registered as an employer of a lobbyist on January 14, 2008.
2. Semi-annual lobbying expenditure report. The Association of Surgical Technologists had a duty under the Tennessee Comprehensive Governmental Ethics Reform Act of 2006 ("Act") to file an employer disclosure report ("semi-annual lobbying expenditure report") for the six month period ending April 30, 2008. This report was due to be filed no later than May 15, 2008.
 - a. As of May 15, 2008, the Association of Surgical Technologists had not filed its second semi-annual lobbying report.
 - b. On June 9, 2008, Commission staff notified the Association of Surgical Technologists that the report had not been filed.
 - c. On August 11, 2008, Commission staff mailed the Association of Surgical Technologists a Notice of Informal Show Cause hearing.
3. Notice of violation. On August 11, 2008, the Commission sent the Association of Surgical Technologists by certified mail, return receipt requested, a notice that the Commission intended to consider at its September 23, 2008 meeting assessment of civil penalties against the Association of Surgical Technologists for failure to file the semi-annual lobbying expenditure report due for the six month period ending April 30, 2008.

- a. The notice set forth the allegation, the maximum amount of civil penalties that could be assessed, the date, place, and time of the meeting, and the Association of Surgical Technologists's opportunity to participate in an informal proceeding at the meeting either by appearing personally or by submitting a sworn statement and documents.
 - b. On August 13, 2008, the Commission received a green card in the mail that indicated that the notice had been received.
 - c. In response to the notice, the Association of Surgical Technologists filed the Semi-Annual Lobbying Expenditure Report.
4. Hearing. Tracy O'Neill, lobbyist for the Association of Surgical Technologists, appeared at the meeting on September 23, 2008. She stated that the Association of Surgical Technologists prematurely registered in 2008.

CONCLUSIONS OF LAW

The Commission concludes that the Association of Surgical Technologists had an obligation under the Act to file a semi-annual lobbying expenditure report for the six month period ending April 30, 2008, failed to do so, and had no "good cause" for such failure to file. The Act authorizes the Commission to administratively assess a civil penalty of not more than twenty-five dollars (\$25.00) per day up to a maximum of seven hundred fifty dollars (\$750.00) if an employer of a lobbyist fails, without good cause, to timely file an employer disclosure report. Tenn. Code Ann. § 3-6-306 (a)(1)(A)(iii).

The Commission considers the complete failure to respond to the notice concerning the failure to file to be significant. The Commission has taken steps through training, website postings, and notices to help employers of lobbyist to come into compliance with the Act. More than a year and a half has passed since the filing requirements of the Act became effective. While the Association of Surgical Technologists may have prematurely registered in 2008, it was still obligated to file the May 15, 2008 report. The Commission also notes that the Association of Surgical Technologists was late with its 2007 registration and both its May and November 2007 expenditure reports. The Commission finds that the Association of Surgical Technologists did file promptly upon receipt of the Show Cause Notice and was represented at the hearing and has taken that into consideration in assessing a civil penalty. Accordingly, the Commission finds that the Association of Surgical Technologists should be assessed a civil penalty of five hundred fifty dollars (\$550.00).

This assessment cannot become final until after respondent has been afforded an opportunity for a notice and a hearing. Tenn. Code Ann. § 3-6-107(8). Respondent's failure to participate in the informal assessment process is without prejudice to its rights to a contested case hearing under the Uniform Administrative Procedures Act, Tenn. Code Ann. §§ 4-5-101—4-5-325.

CONDITIONAL ORDER

It is therefore ORDERED that a civil penalty in the amount of five hundred fifty dollars (\$550.00) is assessed against the Association of Surgical Technologists for failure to file an employer disclosure report.

It is further ORDERED that the Executive Director shall issue this order and file it in the Commission's offices.

It is FURTHER ORDERED that this order shall not become final if respondent files a timely request for reconsideration of petition for a contested case hearing.

It is further ORDERED that the Executive Director shall cause to be provided to the respondent, by either personal service, certified mail return receipt requested, or overnight delivery, a copy of this order, and notice of the following:

Respondent's right to seek reconsideration of this order by filing with the Commission, within fourteen (14) days of this order, a written request for reconsideration in the form set forth in the notice;

Respondent's right to initiate a contested case proceeding by filing with the Commission, within thirty (30) days of this order, a petition for a contested case hearing in the form set forth in the notice; and

That in the event of failure to timely file a request for reconsideration or a petition for a contested case hearing the order shall become final and may form the basis for legal action to collect the civil penalty.

SO ORDERED.

Issued this 30th day of September, 2008

TENNESSEE ETHICS COMMISSION

By: 

Bruce A. Androphy,
Executive Director